

M E M O R A N D U M

TO: Mike Dupree, Deputy General Counsel
Legal Division

FROM: Robin Gremillion, ~~Director~~
Disclosure Division

DATE: October 29, 2015

DOCKET: 2015-1189

RE: CARTER, E. LEE
Tier 2.1 Annual Personal Financial Disclosure Statement covering 2013
Agricultural Commodities Commission
Late Fee: \$1500
WAIVER REQUEST

Mr. Carter served as a member of the Agricultural Commodities Commission from 2008 until his resignation in 2014. Mr. Carter has filed eight disclosure statements and/or amendments with this agency.

On October 8, 2015, Mr. Carter timely requested a waiver of late fees related to the above referenced disclosure statement. Mr. Carter stated that during the time the disclosure statement was due, he was in the process of resigning from the board. For that reason, he did not think he was required to file a disclosure statement. The chronology follows:

Tier 2.1 Annual PFD covering calendar year 2013

- Original PFD due date: May 15, 2014
- NOD-FF Received: January 30, 2015
- PFD due date based on receipt of NOD: February 10, 2015
- PFD filed: June 1, 2015
- Days late from receipt of NOD: 111
- Total days late from initial due date: 383
- Late Fee Order Attempted: August 3, 2015
- Late Fee Order Reissued (personal service): September 28, 2015
- Late Fee Order Received: October 7, 2015
- Payment or waiver request due: October 27, 2015
- Waiver request received: October 8, 2015

Other PFD Late Fees: No

Other CF Late Fees: No

Other Outstanding Disclosures: No

Prior Disclosure Late Fees: No

Suspended/Waived: No

Reassessed Late Fees: No



STATE OF LOUISIANA
DEPARTMENT OF STATE CIVIL SERVICE
LOUISIANA BOARD OF ETHICS

P. O. BOX 4368
BATON ROUGE, LA 70821
(225) 219-5600
FAX: (225) 381-7271
1-800-842-6630
www.ethics.state.la.us

CERTIFIED MAIL

NO. 70140150000021900989

RETURN RECEIPT REQUESTED

January 26, 2015

E. Lee Carter
2002 Tower Drive, POB 2675
Monroe, LA 71201

NOTICE OF DELINQUENCY - FAILURE TO FILE

**Statement covering 2013
Agricultural Commodities Commission**

Pursuant to La. R.S. 42:1124.4, if a person fails to file a Personal Financial Disclosure Statement as required by 42:1124, 1124.2, 1124.2.1, or 1124.3; omits information; or files inaccurately, a Notice of Delinquency shall be issued. A review of our records indicates that we have not received your Personal Financial Disclosure Statement covering 2013.

You have 7 business days from the date of receipt of this Notice to file your Tier 2.1 Personal Financial Disclosure Statement covering 2013, or to submit an Answer explaining why you feel you are not required to file a Personal Financial Disclosure Statement. Failure to file a Personal Financial Disclosure Statement or an Answer within the 7 business days will subject you to an automatic late fee of \$50 per day up to a maximum of \$1,500. Proof of timely filing is determined by the U.S. Postal Service postmark; receipt from the U.S. Postal Service; or receipt from a commercial delivery service.

The form for the Tier 2.1 Personal Financial Disclosure Statement (Form 417) is available on the Louisiana Board of Ethics website at www.ethics.state.la.us. If you have any questions, you may contact a Disclosure Division employee at 225/219-5600 or 800/842-6630.

SENDER: COMPLETE THIS SECTION

- Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.
- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.

1. Article Addressed to:

E. Lee Carter
2002 Tower Drive, POB 2675
Monroe, LA 71201




2. Article Number
(Transfer from service label)

7014 0150 0000 2190 0989

PS Form 3811, July 2013

COMPLETE THIS SECTION ON DELIVERY

A. Signature  ☐ Agent
X ☒ Addressee

B. Received by (Printed Name)

C. Date of Delivery

D. Is delivery address different from item 1? ☐ Yes
If YES, enter delivery address below: ☐ No

3. Service Type

- ☒ Certified Mail® ☐ Priority Mail Express™
- ☐ Registered ☐ Return Receipt for Merchandise
- ☐ Insured Mail ☐ Collect on Delivery

4. Restricted Delivery? (Extra Fee) ☐ Yes

Domestic Return Receipt

LOUISIANA BOARD OF ETHICSPost Office Box 4368
Baton Rouge, Louisiana 70821**TIER 2.1 PERSONAL FINANCIAL DISCLOSURE STATEMENT (ANNUAL)**THIS REPORT COVERS CALENDAR YEAR: 2013☐ ORIGINAL REPORT☐ AMENDED REPORT☐ I currently hold an office that would require me to file a Tier 3 Personal Financial Disclosure Statement. As such, I have completed SCHEDULE E.Name of Filer (print full name) E Lee CarterMailing Address P.O. Box 2675City, State, Zip MONROE, LA 71207

Name of Board/Commission (no abbreviations): _____

Date of Appointment: _____

Date Appointment Expires: _____

Name of Spouse (print full name) Catherine Bezio CarterSpouse's Occupation BANK - Branch ManagerPrincipal Business Address 1411 N. 19th St.City, State, Zip MONROE, LA 71201**CHECK ONE:**☒ Neither I, nor any member of my immediate family, have a personal or financial interest in any entity, contract, or business, or a personal or financial relationship, that in any way poses a conflict of interest, which would affect the impartial performance of my duties as a member of the board or commission.☐ I have attached a statement describing any conflicts, and actions I am taking to resolve or avoid the conflicts.

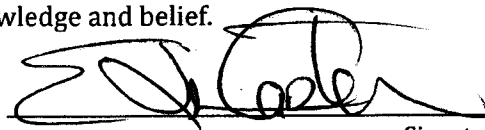
Check all that apply:

☐ I have filed my state income tax return for the previous year.☒ I have filed for an extension of my state income tax return for the previous year.☐ I have filed my federal income tax return for the previous year.☒ I have filed for an extension of my federal income tax return for the previous year.

NOTE: La. R.S. 42:1124.2.1 does not provide you the opportunity to request an extension in filing your personal financial disclosure statement.

Certification of Accuracy

I do hereby certify that the information contained in this personal financial disclosure statement is true and correct to the best of my knowledge and belief.



Signature of Filer



STATE OF LOUISIANA
DEPARTMENT OF STATE CIVIL SERVICE
LOUISIANA BOARD OF ETHICS

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September 28, 2015

E. Lee Carter
305 Lakeside
Monroe, LA 71201-2512

RE: Tier 2.1 Annual Personal Financial Disclosure Statement for calendar year 2013
Agricultural Commodities Commission
Late Fee Assessment – Report: PFD15008145

Dear E. Lee Carter:

Enclosed is an assessment of a late fee pursuant to La. R.S. 42:1124.4. Please submit a check or money order in the amount of \$1,500 payable to the *Louisiana State Treasurer*, Post Office Box 4368, Baton Rouge, Louisiana 70821.

You have 20 days from the receipt of this letter to submit payment or dispute this assessment. To dispute the assessment, you may elect to:

Request a waiver to the *Board of Ethics*

If you choose to request a waiver of the late fee, your request should include specific details, along with supporting documentation, as to why, in your opinion, you have *good cause* for not timely filing the report and why the late fee should be reduced, suspended, or waived. The request should be submitted to the attention of: *Louisiana Board of Ethics*, Post Office Box 4368, Baton Rouge, Louisiana 70821. You may also fax the request to 225/381-7271. Also, if you would like to appear before the Board of Ethics in connection with your request, you should state that in your request. If you request an appearance, you will be notified of the place and time prior to the meeting.

Appeal the assessment directly to the *Ethics Adjudicatory Board*

If you choose to appeal the assessment of the late fee, the proceedings will go before a three judge panel of administrative law judges. The panel will determine if you were required to file the disclosure statement and whether the disclosure statement was filed late. Mitigating factors are not considered. The Ethics Adjudicatory Board does not have the authority to reduce, suspend, or waive a late fee assessment. If you choose to *appeal* the assessment, you should submit your request to the attention of: *Executive Secretary*, Ethics Administration, Post Office Box 4368, Baton Rouge, Louisiana 70821. You may also fax the request to 225/381-7271.

If you do not pay, dispute, or appeal the assessment of the late fee, the matter will be forwarded to the Attorney General's Office to pursue collection. If the matter is forwarded to the Attorney General's Office for collection, you may be responsible for all additional costs incurred. Additionally, late fees not paid by the due date will be posted on the agency website.

You should be aware that unpaid fines, fees, or penalties may have an adverse effect on your ability to run for public office, as the *Board of Ethics* will object to your candidacy in future elections pursuant to La. R.S. 18:491 and 18:492.

If you have any questions, you may contact Robin Gremillion at 225/219-5600 or 1-800-842-6630.

Sincerely,

Donna Bourgeois

Donna Bourgeois
Administrative Coordinator

**STATE OF LOUISIANA
BOARD OF ETHICS**

**In Re: Tier 2.1 Annual Personal Financial Disclosure Statement 2013
Late Fee Assessment – Report: PFD15008145**

ORDER

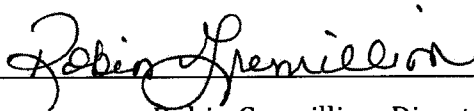
E. LEE CARTER was required to file a Tier 2.1 Annual Personal Financial Disclosure Statement for calendar year 2013 pursuant to La. R.S. 42:1124 et seq.

On January 30, 2015, E. LEE CARTER received a Notice of Delinquency for failing to file the disclosure statement. The notice required that the disclosure statement be filed by February 10, 2015 (pursuant to La. R.S. 42:1124.4). E. LEE CARTER filed the Tier 2.1 Annual Personal Financial Disclosure Statement for calendar year 2013 on June 1, 2015 and was 111 days late.

La. R.S. 42:1124.4 authorizes the assessment of a \$50 late fee per day (not to exceed \$1,500) against E. LEE CARTER for this late filing.

Accordingly, **IT IS ORDERED** that a late fee of \$1,500 be assessed against E. LEE CARTER for failing to timely file the Tier 2.1 Annual Personal Financial Disclosure Statement for calendar year 2013.

ORDER signed on the 28th day of September 2015 at Baton Rouge, Louisiana.



Robin Gremillion, Director
Disclosure Division

SERVICE RETURN

9/28/15
IN RE: E. LEE CARTER
Tier 2.1 Annual Personal Financial Disclosure covering
calendar year 2013
Report ID: PFD15008145

STATE OF LOUISIANA
BOARD OF ETHICS

TO: E. LEE CARTER
305 LAKESIDE
MONROE, LA 71201-2512

This LATE FEE NOTICE/ORDER was issued at the request of Disclosure Director Robin Gremillion.

E. LEE CARTER is hereby assessed a late fee in connection with the above referenced disclosure statement and is requested to submit payment to the *Louisiana Treasury, Ethics Administration, P.O. Box 4368, Baton Rouge, Louisiana 70821.*

E. LEE CARTER has 20 days from receipt of this Notice to submit payment or dispute this assessment.

DB

RETURN INFORMATION

THIS SUBPOENA MUST BE SERVED PERSONALLY OR AT THE DOMICILIARY ADDRESS LISTED ABOVE. IF THE ADDRESS IS FOUND TO BE INCORRECT, PLEASE RETURN THE SUBPOENA TO THIS AGENCY. IF AN UPDATED ADDRESS IS AVAILABLE, PLEASE PROVIDE THE INFORMATION SO THAT THE SUBPOENA CAN BE REISSUED.

The attached documents were served on the above party as follows:

 PERSONAL SERVICE:

Served on the above named party at:

 X **DOMICILIARY SERVICE:**

Served on the following named: _____
by leaving the same at the domicile in the hands of:

Relationship to named party: friend Greg Gulyas, a
person of suitable age and discretion residing in the said domicile at: _____
305 Lakeside Monroe LA 71201

 DUE AND DILIGENT:

After diligent search and inquiry, unable to find the party herein named.

This 7 day of Oct, 2015, at 1542 A.M. (P.M.)

MT J. A. [Signature]
SIGNATURE - SERVING OFFICER
Trooper
TITLE



E LEE CARTER, INC. DBA TRADERS' MART**1910 ROSELAWN AVENUE****MONROE, LOUISIANA 71201****318-325-7565 FAX: 318-324-1160**

Louisiana Board of Ethics

P.O. Box 4368

Baton Rouge, Louisiana 70821

Re: Late Fee Assessment - Report: PFD15008145

E. Lee Carter

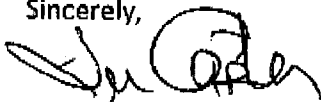
2015 OCT -8 PM 4:21
RECEIVED
CAPITAL FINANCE
REGISTRATION

To whom it may concern:

I am requesting a waiver of the late fee for failure to file a Tier 2.1 Annual Personal Financial Disclosure Statement for calendar year 2013 (pursuant to La. R.S. 42:1124.4). I sincerely apologize for this oversight. During the time this was due, I was in the process of resigning from my position on the Louisiana Agricultural Commission and I was under the impression that the filing was not necessary, due to that fact. Please accept my apologies for any misunderstanding and be assured that this is not a position that was taken lightly by me. I sincerely appreciate the time I was allowed to serve on this Commission. Due to staffing decreases in my office, I was forced to resign, as it was unfair to the other board members that I could not attend these important meetings.

Thank you for your consideration in waiving this late fee.

Sincerely,



E. Lee Carter

305 Lakeside Dr.

Monroe, Louisiana 71201

bettyz

StroomCenter Fax
10-08-2015 /15:05

XEROX®